

Attachment D: Work Sheet for Reviewing States' Evidentiary Information

I. Level of Care (LOC) Determination		
	Evidentiary Example*	Evidence Provided by the State**
Waiver applicants for whom there is reasonable indication that services may be needed in the future are provided an individual LOC evaluation.	<p>State submits evidence that it has reviewed applicant files to verify that individual LOC evaluations are conducted.</p> <p>EX. Reports from state reviews conducted and follow-up actions taken; a summary report of all reviews; minutes of committee meeting showing evaluation of findings and recommendations made and strategies for improvement developed.</p>	
Enrolled participants are reevaluated at least annually or as specified in the approved waiver.	<p>State submits evidence that it periodically reviews participant files to verify that reevaluations of LOC are conducted at least annually or as specified in its approved waiver.</p> <p>EX. Reports from state monitoring reviews conducted; a summary report of all reviews; minutes of committee meetings showing evaluation of findings and recommendations and strategies for improvement developed.</p>	
The process and instruments described in the approved waiver are applied to LOC determinations.	<p>State submits evidence that it periodically reviews participant files to verify that the instrument described in its approved waiver is used in all LOC re-determinations and that person(s) who implement LOC determinations are those specified in approved waiver.</p> <p>EX. Reports of periodic interviews with person(s) who implements LOC determinations regarding process and instruments used; summary reports from case file reviews; minutes from committee meetings showing evaluation of findings and recommendations and strategies for improvement.</p>	

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The state monitors level of care decisions and takes action to address inappropriate level of care determinations.	State submits evidence that it has reviewed applicant/participant files to verify that LOC decisions are accurate and actions are being taken when inappropriate LOC decisions are made. EX: Same as above.	
II. Plan of Care		
	Evidentiary Example	Evidence Provided by the State
POCs address all participants' assessed needs (including health and safety risk factors) and personal goals, either by waiver services or through other means.	State demonstrates that POCs are reviewed periodically to assure that all participants' needs are addressed and preferences considered. EX. Reports from state monitoring reviews of POCs; a summary report of all reviews; minutes of committee meetings showing evaluation of findings and recommendations and strategies for improvement developed.	.
The State monitors POC development in accordance with its policies and procedures and takes appropriate action when it identifies inadequacies in the development of POCs.	State submits evidence of its monitoring process for POC development and that corrective action was taken when the State determined POCs were not developed according to policies and procedures. EX. Reports from state monitoring reviews; a summary report of all reviews; minutes of committee meetings showing evaluation of findings, recommendations, corrective actions taken, results of feedback from participant interviews; analysis of complaints; analysis of reported incidents; results of focus group meetings; results of staff interviews.	
POCs are updated/revised when warranted by changes in waiver participants' needs.	State submits evidence of its monitoring process for updating/revising POCs, including that POCs are reconsidered when a participant's needs changes and that corrective action was taken when POCs were not updated/revised according to policies and procedures.	

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	EX. Reports from state monitoring that compare the participant's needs, POCs and case notes and whether needed revisions are made; a summary report of all reviews; minutes of committee meetings showing evaluation of findings and recommendations and strategies for improvement developed.	
Services are specified by type, amount, duration, scope and frequency and are delivered in accordance with the POC.	State submits evidence of the results of its monitoring process for ensuring the services identified in the POC are implemented. EX. Reports of monitoring service refusals and analysis; reports of state monitoring (e.g., provider, county, case management) to verify that services in POC have been received; summary report of all reviews; minutes of committee meetings showing evaluation of findings and recommendations and strategies for improvement developed.	
Participants are afforded choice between waiver services and institutional care.	State submits evidence of results of interviews with participant/family to determine if informed choice was offered (may use a sampling methodology). EX. Results of focus groups and/or interviews with participant/family; analysis of complaints; analysis of incident reports; minutes of committee meetings showing evaluation of findings and recommendations and strategies for improvement developed.	
Participants are afforded choice between/among waiver services and providers.	State submits evidence of results of interviews with participants/family to assure choice was offered and was informed and provided for reasonable options (may use a sampling methodology). State demonstrates public access to information by which to compare providers such as posting provider licensing/certification ratings to a website. EX. Same as above.	

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III. Qualified Providers		
	Evidentiary Example	Evidence Provided by the State
The state verifies, on a periodic basis, that providers meet required licensing and/or certification standards and adhere to other state standards.	<p>State provides documentation of periodic review by licensing/certification entity.</p> <p>EX. Reports from state monitoring; minutes of committee meetings showing evaluation of findings and recommendations related to provider qualifications and training; actions taken when deficiencies are identified such as sanctions or correspondence; reports include both licensed providers, those qualified through other means and individual providers; analysis of complaints or incident reports.</p>	
The state monitors non-licensed/non-certified providers to assure adherence to waiver requirements.	<p>State provides documentation that non-licensed/non-certified providers are monitored on a periodic basis sufficient to provide protections to waiver participants.</p> <p>EX. Same as above.</p>	
The state identifies and rectifies situations where providers do not meet requirements.	<p>State provides documentation that when a provider has not met licensing/certification requirements it has implemented corrective action including providing technical assistance. If a provider has demonstrated egregious operations then the state has documentation of taking sanctioning action(s).</p> <p>Ex. Same as above.</p>	
The state implements its policies and procedures for verifying that training is provided in accordance with state requirements and the approved waiver.	<p>State provides documentation of its monitoring of training and actions it has taken when providers have not met requirements (e.g., technical assistance, training).</p> <p>EX. Same as above; documentation of technical assistance/training sessions.</p>	

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IV. Health and Welfare		
	Evidentiary Example	Evidence Provided by the State
On an ongoing basis the state identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation.	<p>The state provides documentation that demonstrates:</p> <ul style="list-style-type: none"> ▪ On an ongoing basis, abuse, neglect and exploitation are identified and appropriately addressed. ▪ Appropriate actions have been taken when the health or welfare of a participant has not been safeguarded. ▪ Results of analysis of abuse, neglect and exploitation trends and strategies the state has implemented for prevention. <p>EX. Ongoing monitoring reports; reports and analysis of complaints; reports and analysis of reports of abuse neglect and exploitation; results of investigations and actions taken; reports and action taken on plan of care discrepancies; minutes of QA or other committee meetings that show review of monitoring, recommended actions and follow-up reports.</p>	
V. Administrative Authority		
	Evidentiary Example	Evidence Provided by the State
The Medicaid agency or operating agency conducts routine, ongoing oversight of the waiver program.	<p>State submits evidence of monitoring the waiver program in accordance with its Memorandum of Understanding/interagency agreement and taking actions when problems are identified.</p> <p>EX. A description of the state quality management program with evidence of activities such as monitoring and developing review reports; focused studies; quality improvement projects; committee minutes; record of actions taken; record of service denials and appeal requests; copies of issued notices of appeal; annual appraisal of the quality improvement program.</p>	
VI. Financial Accountability		
	Evidentiary Example	Evidence Provided by the State
State financial oversight exists to assure	The state submits documentation:	

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<p>that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.</p>	<ul style="list-style-type: none"> ▪ Showing results of its financial monitoring process for verifying maintenance of appropriate financial records as specified in approved waiver ▪ Showing results of its review of waiver participant claims to verify that they are coded and paid in accordance with the waiver reimbursement methodology. ▪ Demonstrating that interviews with state staff and providers are periodically conducted to verify that any identified financial irregularities are addressed. ▪ State demonstrates that site visits are conducted with providers to verify that they maintain financial records according to provider agreements/contracts. <p>EX. Audit reports; monitoring reports; management meeting minutes that reflect analysis, recommendations and actions taken.</p>	
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